

Appendix A: Basic Federal Grants Management Rules and Regulations Applicable to NHPRC Grants

These rules and regulations have been mentioned throughout the text of the guidelines, but we thought it would be helpful to list them in one place for easy reference. All are available through the Commission's World Wide Web site: <<http://www.nara.gov/nara/nhprc/guidelin.html#administration>>.

Code of Federal Regulations (CFR), Title 36, Part 1206, "National Historical Publications and Records Commission"

CFR, Title 36, Part 1207, "Uniform Administrative Requirements for Grants and Cooperative Agreements with State and Local Governments"

CFR, Title 36, Part 1209, "Government Debarment and Suspension (Nonprocurement) and Governmentwide Requirements for Drug-Free Workplace (Grants)"

CFR, Title 36, Part 1210, "Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations"

OMB Circular A-87, "Cost Principles for State, Local and Indian Tribal Governments"

OMB Circular A-21, "Cost Principles for Educational Institutions"

OMB Circular A-122, "Cost Principles for Non-Profit Organizations"

OMB Circular A-133, "Audits of States, Local Governments, and Non-Profit Organizations"

APPENDIX B: STATE HISTORICAL RECORDS COORDINATORS, DEPUTIES, AND CONTACTS

Note: Deputy Coordinators' and Contacts' addresses and/or phone/FAX numbers are not shown separately if they are the same as those of the State Coordinator.

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APPENDIX C: OTHER FEDERAL GRANT PROGRAMS

The following list includes several other Federal grant programs which provide support for historical records and documentary editions projects. Applicants should contact these programs directly for guidelines and application materials. Comprehensive information on all Federal grant programs is included in the *Catalog of Federal Domestic Assistance*, which is revised regularly. A paper version is sold on a subscription basis by the Superintendent of Documents, U.S. Government Printing Office, Washington, DC 20402. It is also available in electronic form and over the Internet at <<http://www.gsa.gov/fdac/>>. For more information write the Federal Domestic Assistance Catalog Staff (WKU), General Services Administration, Ground Floor, Reporters Building, 300 7th Street, S.W., Washington, DC 20407, or call 202-708-5126.

Institute of Museum and Library Services

Old Post Office Building
1100 Pennsylvania Avenue, N.W.
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General information: 202-606-8539 (voice)
imsinfo@ims.fed.us. (e-mail)
<<http://www.ims.fed.us/>> (World Wide Web)

Library of Congress/Ameritech National Digital Library Competition

Library of Congress, LM 225
101 Independence Avenue, S.E.
Washington, DC 20540-4860
General information: 202-707-1087 (voice)
bpau@loc.gov (e-mail)
<<http://lcweb2.loc.gov/ammem/award>> (World Wide Web)

National Endowment for the Humanities

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1100 Pennsylvania Avenue, N.W.
Washington, DC 20506
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or contact the following programs:
1) Division of Public Programs and Enterprise, publicpgms@neh.fed.us (e-mail)
2) Division of Challenge Grants, challenge@neh.fed.us (e-mail)
3) Division of Research and Education, research@neh.fed.us (e-mail)
4) Division of Preservation and Access, preservation@neh.fed.us (e-mail)

National Science Foundation

Division of Social, Behavioral, and Economic Research
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APPENDIX D: AMERICAN LIBRARY ASSOCIATION—SOCIETY OF AMERICAN ARCHIVISTS JOINT STATEMENT ON ACCESS: GUIDELINES FOR ACCESS TO ORIGINAL RESEARCH MATERIALS

1. A repository¹ preserves collections² for use by researchers. It is the responsibility of a repository to make available original research materials in its possession on equal terms of access. Access should be provided in accordance with statutory authority, institutional mandate, the code of Ethics for Archivists,³ the Standards for Ethical Conduct for Rare Book, Manuscript, and Special Collections Librarians,⁴ and this Joint Statement. A repository should not deny access to materials to any researcher, nor grant privileged or exclusive use of materials to any researcher, nor conceal the existence of any body of material from any researcher, unless required to do so by statutory authority, institutional mandate, or donor or purchase stipulation.
2. A repository is committed to preserving manuscript and archival materials and to making them available for research as soon as possible. At the same time, it is recognized that a repository may have legal and institutional obligations to protect confidentiality in its collections, and that private donors have the right to impose reasonable restrictions upon their papers to protect privacy or confidentiality for a reasonable period of time.
 - a. It is the responsibility of the repository to inform researchers of the restrictions which apply to collections.
 - b. The repository should discourage donors from imposing unreasonable restrictions and should encourage a specific time limitation on restrictions that are imposed.
 - c. The repository should periodically reevaluate restricted material and work toward the removal of restrictions when they are no longer required.
3. As the accessibility of material depends on knowing of its existence, it is the repository's responsibility to inform researchers of the collections in its custody. This may be accomplished through local, regional, or national catalogs; inventories and other internal finding aids; published guides; and the assistance of staff members.
4. To protect and insure the continued accessibility of the material in its custody, all materials must be used in accordance with the rules of the repository. Each repository should publish or otherwise make known to potential researchers its rules governing access and use. Such rules must be applied and enforced equally.
 - a. The repository may limit use of fragile or unusually valuable materials, but should try to provide suitable reproductions to researchers in lieu of the originals.
 - b. The repository may limit access to unprocessed materials, so long as the limitations are applied and enforced equally.
 - c. The repository may, under special circumstances, loan or place on deposit with another repository part or all of a collection.⁵
 - d. The repository may refuse access to an individual researcher who has demonstrated such carelessness or deliberate destructiveness as to endanger the safety of the material, or to a researcher who has violated the policies and regulations of the repository.
 - e. To protect its collections, a repository may, in accordance with statutory authority and institutional mandate, require acceptable identification of any individual wishing to use its materials, as well as a signature verifying the individual has read a statement defining the policies and regulations of the repository.
5. A repository should not charge fees for making available the materials in its holdings, except when required by statutory authority or institutional mandate. A repository should facilitate access to collections by providing reproduction services. These services can include electronic, paper, or photographic copies; microfilm; or other means of reproduction. All reproductions should be made in accordance with statutory authority, including copyright law, institutional mandate, and repository regulations. Reasonable fees may be charged for these copying or research services. A repository is not obligated to conduct copying or research services beyond those required by statutory authority or institutional mandate.

6. Each repository should publish or otherwise make available to researchers a suggested form of citation crediting the repository and identifying items within its holdings for later reference. Citations to copies of materials in other repositories should include the location of the originals, if known.

7. It is the researcher's obligation to satisfy copyright regulations when copying or using materials found in collections.⁶ Whenever possible a repository should inform a researcher about known copyrighted material, the owner or owners of the copyrights, and the researcher's obligations with regard to such material.

End Notes

¹A *repository* is defined as an archives, manuscripts library, research center, or any other institution responsible for keeping primary research materials.

²*Collections* are defined as individual manuscripts, archival or manuscript collections, fonds, or record groups found in repositories in any format.

³*Code of Ethics for Archivists and Commentary* (Chicago: Society of American Archivists, 1992).

⁴"Standards for Ethical Conduct for Rare Book, Manuscript, and Special Collections Librarians, with Guidelines for Institutional Practice in Support of the Standards," *College & Research Libraries News* 54 (April 1993): 207-215.

⁵Repositories wishing to participate in the interlibrary loan of materials may consult as a model the "Additional Guidelines for Access to Archives, Manuscripts, and Special Collections," Chapter 8 of the *RLG Shared Resources Manual* (3rd ed., Stanford, CA: Research Libraries Group, 1987). The chapter is reprinted in *Rare Books & Manuscripts Librarianship* 3 (Fall 1988): 126-130. Repositories wishing to loan original materials for research or exhibition may consult the RBMS "Guidelines for the Loan of Rare and Unique Materials," *College & Research Libraries News* 54 (May 1993): 267-269, or the "Guidelines for Borrowing Special Collections Materials for Exhibition," *College & Research Libraries News* 51 (May 1990): 430-434.

⁶Repositories may wish to provide researchers with the American Library Association's 1991 publication, *Locating Copyright Holders*.

Adopted by the American Library Association and
the Society of American Archivists
1994

APPENDIX E: NHPRC Information Request Form

General Grant Program Information and Application Materials

Grant Program Guidelines/Application Forms _____

Documentary Editions Brochure _____

Special Guidelines and Applications

Considerations for Converting Materials to Electronic Form _____

Consultant Grants and Services Guidelines _____

Electronic Records Guidelines _____

Fellowships in Archival Administration Brochure _____

Host Institution Application _____ Individual Application _____

Fellowships in Historical Editing, Information and Application Form _____

Historical Photograph Guidelines _____

Institute for the Editing of Historical Documents _____

Native American Records Project Guidelines _____

Regrant Guidelines _____

State Board Planning Guidelines _____

Publication Subvention Program Guidelines _____

General Commission Publications

NHPRC Annual Report _____

NHPRC Fact Sheet _____

NHPRC Long-range Plan _____

Documentary Editions Catalog _____

Using the Nation's Documentary Heritage (The Historical Documents Study) _____

Consultant Grants: A Report to the Commission _____

Electronic Records Issues: A Report to the Commission _____

Federal Funding for Museum Archives: A Report to the Commission _____

Native American Initiative: A Report to the Commission _____

Research Issues in Electronic Records _____

Please add me to the mailing list for the Commission's newsletter, *Annotation* _____

Requested by:

Return this form to: NHPRC, National Archives & Records Administration, 700 Pennsylvania Avenue, NW, Room 106, Washington, DC 20408-0001.

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FAX: 202-501-5601

